



IAP04Rec'd PCT 28 AUG 2008

PTO/SB/21 (09-06)

Approved for use through 03/31/2007. OMB 0651-0031

U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

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## TRANSMITTAL FORM

(to be used for all correspondence after initial filing)

Total Number of Pages in This Submission

Application Number

10/593,399

Filing Date

September 27, 2007

First Named Inventor

Roberto Pozzati

Art Unit

Not yet assigned

Examiner Name

Not yet assigned

Attorney Docket Number

18545US00

## ENCLOSURES (check all that apply)

Fee Transmittal Form

Fee Attached

Amendment/Reply

After Final

Affidavits/declaration(s)

Extension of Time Request

Express Abandonment Request

Information Disclosure Statement

Certified Copy of Priority Document(s)

Reply to Missing Parts/ Incomplete Application

Reply to Missing Parts under 37 CFR 1.52 or 1.53

Drawing(s)

Licensing-related Papers

Petition

Petition to Convert to a Provisional Application

Power of Attorney, Revocation Change of Correspondence Address

Terminal Disclaimer

Request for Refund

CD Number of CD(s) \_\_\_\_\_

Landscape Table on CD

After Allowance Communication to TC

Appeal Communication to Board of Appeals and Interferences

Appeal Communication to TC (Appeal Notice, Brief, Reply Brief)

Proprietary Information

Status Letter

Return-Receipt Postcard

Other Enclosure(s) (please identify below):

Remarks Response to Notification of Insufficient Funds  
Copy of Notification of Insufficient Funds

## SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT

Firm or Individual Name

McAndrews Held & Malloy, Ltd.

Name (Print/type)

Jonathan M. Rushman

Registration No. (Attorney/Agent)

55870

Signature

Date: August 28, 2008

## EXPRESS MAIL DEPOSIT

"Express Mail" mailing label number : EV 639814869 US  
Date of Deposit Auguts 28, 2008.



08-29-08

18545US00  
18545US00  
S2H

PCT

## UNITED STATES PATENT AND TRADEMARK OFFICE



UNITED STATES DEPARTMENT OF COMMERCE  
United States Patent and Trademark Office  
Address: COMMISSIONER FOR PATENTS  
P.O. Box 1450  
Alexandria, Virginia 22313-1450  
[www.uspto.gov](http://www.uspto.gov)

U.S. APPLICATION NUMBER NO.	FIRST NAMED APPLICANT	ATTY. DOCKET NO.
10/593,399	Pozzati Roberto	P4422-3001
Karin E Peterka Buchalter Nemer 1000 Wilshire Blvd Suite 1500 Los Angeles, CA 90017-5704		INTERNATIONAL APPLICATION NO. PCT/US04/36827
		I.A. FILING DATE 11/05/2004
		PRIORITY DATE

## RESPONSE DUE:

Missing Requirements 9/1/08CONFIRMATION NO. 2782  
371 FORMALITIES LETTER

OC000000030728642

Date Mailed: 07/01/2008

## Notification of Insufficient Fees (DO/EO/US)

The following items have been submitted by the applicant or the IB to the United States Patent and Trademark Office as a Designated Office (37 CFR 1.494):

- Copy of the International Application filed on 09/19/2006
- Copy of the International Search Report filed on 09/19/2006
- Information Disclosure Statements filed on 09/19/2006
- Oath or Declaration filed on 09/27/2007
- Request for Immediate Examination filed on 09/19/2006
- U.S. Basic National Fees filed on 09/19/2006
- Specification filed on 09/19/2006
- Claims filed on 09/19/2006
- Abstracts filed on 09/19/2006
- Drawings filed on 09/19/2006

The following items **MUST** be furnished within the period set forth below in order to complete the requirements for acceptance under 35 U.S.C. 371:

- Additional claim fees of \$210 as a non-small entity, including any required multiple dependent claim fee, are required. Applicant must submit the additional claim fees or cancel the additional claims for which fees are due.
- To avoid abandonment, a surcharge (for late submission of filing fee, search fee, examination fee or oath or declaration) as set forth in 37 CFR 1.492(h) of \$130 for a non-small entity, must be submitted with the missing items identified in this letter.

## SUMMARY OF FEES DUE:

Total additional fees required for this application is \$650 for a Large Entity:

- \$130 Surcharge.
- The application search fee is insufficient. Applicant must submit \$100 to complete the search fee. Note a surcharge will be required if submitted later than commencement of the national stage (37 CFR 1.492(h)) and the basic national fee was not paid before July 1, 2005.
- The application examination fee has not been paid. Applicant must submit \$210 to complete the examination fee for a non-small entity. Note a surcharge will be required if submitted later than commencement of the national stage (37 CFR 1.492(h)) and the basic national fee was not paid before July 1, 2005.

Total additional claim fee(s) for this application is \$210

- \$210 for 1 independent claims over 3.

page 1 of 2

McANDREWS, HELD & MALLOY  
JUL 23 2008  
KBS  
DOCKETED

RECEIVED  
JUL 23 2008  
McANDREWS, HELD & MALLOY

**ALL OF THE ITEMS SET FORTH ABOVE MUST BE SUBMITTED WITHIN TWO (2) MONTHS FROM THE DATE OF THIS NOTICE OR BY 32 MONTHS FROM THE PRIORITY DATE FOR THE APPLICATION, WHICHEVER IS LATER. FAILURE TO PROPERLY RESPOND WILL RESULT IN ABANDONMENT.**

The time period set above may be extended by filing a petition and fee for extension of time under the provisions of 37 CFR 1.136(a).

Applicant is reminded that any communications to the United States Patent and Trademark Office must be mailed to the address given in the heading and include the U.S. application no. shown above (37 CFR 1.5)

Registered users of EFS-Web may alternatively submit their reply to this notice via EFS-Web.  
<https://sportal.uspto.gov/authenticate/AuthenticateUserLocalEPF.html>

For more information about EFS-Web please call the USPTO Electronic Business Center at **1-866-217-9197** or visit our website at <http://www.uspto.gov/ebc>.

**If you are not using EFS-Web to submit your reply, you must include a copy of this notice.**

VALERIE D KINARD

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Telephone: (703) 308-9140 EXT 182

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

**Effective on 09/30/2007**  
**Pursuant to the consolidated Appropriates Act, 2005 (H.R. 4818),**  
**FEE TRANSMITTAL**  
**for FY 2008**

		<b>Complete If Known</b>	
		Application Number	10/593,399
		Filing Date	September 27, 2007
		First Named Inventor	Roberto Pozzati
		Examiner Name	Not yet assigned

<input type="checkbox"/> Applicant claims small entity status. See 37 CFR 1.27		Art Unit	Not yet assigned
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<b>TOTAL AMOUNT OF PAYMENT</b>	<b>(\$)</b>	650.00	Attorney Docket No.	18545US00
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METHOD OF PAYMENT (check all that apply)

Check  Credit Card  Money Order  None  Other (please identify): \_\_\_\_\_

Deposit Account Deposit Account Number: 13-0017 Deposit Account Name: McAndrews Held & Malloy

For the above-identified deposit account, the Director is hereby authorized to (check all that apply)

- Charge Fee(s) indicated below  Charge Fee(s) indicated below, except for the filing fee  
 Charge any additional fee(s) or underpayments of fees(s)  Credit any overpayments under 37 CFR 1.16 and 1.17

WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

**FEE CALCULATION (All the fees below are due upon filing or may be subject to a surcharge.)****1. BASIC FILING, SEARCH, AND EXAMINATION FEES**

<u>Application Type</u>	<u>FILING FEES</u>		<u>SEARCH FEES</u>		<u>EXAMINATION FEES</u>		
	<u>Fee (\$)</u>	<u>Small Entity Fee(\$)</u>	<u>Fee(\$)</u>	<u>Small Entity Fee(\$)</u>	<u>Fee(\$)</u>	<u>Small Entity Fee(\$)</u>	<u>Fees Paid(\$)</u>
Utility	310	155	510	255	210	105	_____
Design	210	105	100	50	130	65	_____
Plant	210	105	310	155	160	80	_____
Reissue	310	155	510	255	620	310	_____
Provisional	210	105	0	0	0	0	_____

**2. EXCESS CLAIM FEES****Fee Description**

Each claim over 20 (including Reissues)

**Small Entity**Fee(\$)      Fee(\$)

50

25

Each independent claim over 3 (including Reissues)

210

105

Multiple dependent claims

370

185

<u>Total Claims</u>	<u>Extra Claims</u>	<u>Fee(\$)</u>	<u>Fee Paid (\$)</u>	<u>Multiple Dependent Claims</u>	<u>Fee</u>	<u>Fee Paid (\$)</u>
-20 or HP	x	=	_____			
HP = highest number of total claims paid for, if greater than 20						

<u>Indep. Claims</u>	<u>Extra Claims</u>	<u>Fee(\$)</u>	<u>Fee Paid (\$)</u>
-3 or HP	x	=	_____

HP = highest number of independent claims paid for, if greater than 3

**3. APPLICATION SIZE FEE**

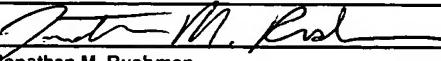
If the specification and drawings exceed 100 sheets of paper (excluding electronically filed sequence or computer listings under 37 CFR 1.52(e)), the application size fee due is \$250 (\$125 for small entity) for each additional 50 sheets or fraction thereof. See 35 U.S.C. 41(a)(1)(G) and 37 CFR 1.16(s).

<u>Total Sheets</u>	<u>Extra Sheets</u>	<u>Number of each additional 50 or fraction thereof</u>	<u>Fee(\$)</u>	<u>Fee Paid(\$)</u>
-100	/50	(round up to a whole number)	x	=

**4. OTHER FEE(S)**

Non-English Specification, \$130 fee (no small entity discount)	_____
Other (e.g., late filing surcharge): Additional claim fee (\$210); Surcharge (\$130); Search fee (\$100); Examination fee (\$210)	650.00

**SUBMITTED BY**

Signature		Registration No. (Attorney/Agent)	55870	Telephone	(312) 775-8000
Name (print/type)	Jonathan M. Rushman		Date	August 28, 2008	

This collection of information is required by 37 CFR 1.136. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 30 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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Effective on 09/30/2007

Pursuant to the consolidated Appropriates Act, 2005 (H.R. 4818).

# FEE TRANSMITTAL for FY 2008

*Complete if Known*

Application Number	10/593,399
Filing Date	September 27, 2007
First Named Inventor	Roberto Pozzati
Examiner Name	Not yet assigned

<input type="checkbox"/> Applicant claims small entity status. See 37 CFR 1.27	Art Unit	Not yet assigned
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<b>TOTAL AMOUNT OF PAYMENT</b>	<b>(\$)</b>	<b>650.00</b>	Attorney Docket No.	18545US00
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METHOD OF PAYMENT (check all that apply)

Check  Credit Card  Money Order  None  Other (please identify): \_\_\_\_\_

Deposit Account Deposit Account Number: 13-0017 Deposit Account Name: McAndrews Held & Malloy

For the above-identified deposit account, the Director is hereby authorized to (check all that apply)

- Charge Fee(s) indicated below  Charge Fee(s) indicated below, except for the filing fee  
 Charge any additional fee(s) or underpayments of fees(s)  Credit any overpayments under 37 CFR 1.16 and 1.17

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## 1. BASIC FILING, SEARCH, AND EXAMINATION FEES

<u>Application Type</u>	<u>FILING FEES</u>		<u>SEARCH FEES</u>		<u>EXAMINATION FEES</u>		<u>Fees Paid(\$)</u>
	<u>Fee (\$)</u>	<u>Small Entity Fee(\$)</u>	<u>Fee(\$)</u>	<u>Small Entity Fee(\$)</u>	<u>Fee(\$)</u>	<u>Small Entity Fee(\$)</u>	
Utility	310	155	510	255	210	105	_____
Design	210	105	100	50	130	65	_____
Plant	210	105	310	155	160	80	_____
Reissue	310	155	510	255	620	310	_____
Provisional	210	105	0	0	0	0	_____

## 2. EXCESS CLAIM FEES

Fee Description

Each claim over 20 (including Reissues)

Each independent claim over 3 (including Reissues)

Multiple dependent claims

<u>Total Claims</u>	<u>Extra Claims</u>	<u>Fee(\$)</u>	<u>Fee Paid (\$)</u>	<u>Multiple Dependent Claims</u>	<u>Fee</u>	<u>Fee Paid (\$)</u>
-20 or HP	x	=	_____			
HP = highest number of total claims paid for, if greater than 20						

<u>Indep. Claims</u>	<u>Extra Claims</u>	<u>Fee(\$)</u>	<u>Fee Paid (\$)</u>	<u>Multiple Dependent Claims</u>	<u>Fee</u>	<u>Fee Paid (\$)</u>
-3 or HP	x	=	_____			

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## 3. APPLICATION SIZE FEE

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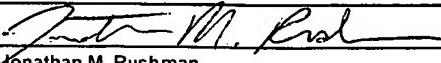
<u>Total Sheets</u>	<u>Extra Sheets</u>	<u>Number of each additional 50 or fraction thereof</u>	<u>Fee(\$)</u>	<u>Fee Paid(\$)</u>
-100	/50	(round up to a whole number)	x	=

Fee Paid(\$)

Non-English Specification, \$130 fee (no small entity discount)

Other (e.g., late filing surcharge): Additional claim fee (\$210); Surcharge (\$130); Search fee (\$100); Examination fee (\$210) \_\_\_\_\_ 650.00

## SUBMITTED BY

Signature		Registration No. (Attorney/Agent)	55870	Telephone	(312) 775-8000
Name (print/type)	Jonathan M. Rushman		Date	August 28, 2008	

This collection of information is required by 37 CFR 1.136. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 30 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.



UNITED STATES PATENT AND TRADEMARK OFFICE  
(Attorney Docket No. 18545US00 (Formerly P4422-3001))

In the Application of:

Roberto Pozzati

Serial No. 10/593,399

Filed: September 27, 2007

For: METAL VALVE  
STEM SEAL AND  
SEALING SYSTEM

Examiner: Unassigned

Group Art Unit: Unassigned

Confirmation No. 2782

**CERTIFICATE OF  
TRANSMISSION**

I hereby certify that this correspondence is being transmitted to the USPTO via Express Mail, No. EV 639814869 US on August 28, 2008.

Jonathan M. Rushman  
Registration No. 55,870

Customer No. 23,446

**RESPONSE TO NOTIFICATION OF INSUFFICIENT FUNDS**

Mail Stop Missing Parts  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, Virginia 22313-1450

Dear Sir:

This Response To Notification Of Insufficient Funds is in reply to the Notification Of Insufficient Funds dated July 1, 2008. This response is being timely filed within the two month period for reply indicated on the notice.

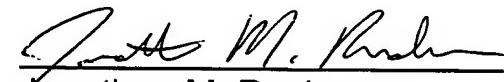
**Attorney Docket No. 18545US00 (Formerly P4422-3001)**

The notice indicated that a total of \$650 was due to pay for the following items: \$210 for additional claim fees, \$130 for late submission of the declaration, \$100 for the application search fee, and \$210 for the examination fee.

Please charge \$650 to Deposit Account No. 13-0017 in the name of McAndrews, Held & Malloy, Ltd. to pay for the foregoing.

Please also charge any other fees required at this time, and credit any overpayment, to Deposit Account No. 13-0017 in the name of McAndrews, Held & Malloy, Ltd.

Respectfully submitted,

  
Jonathan M. Rushman  
Registration No. 55,870

August 28, 2008

Date

Robert W. Fieseler  
Registration No. 31,826  
MCANDREWS, HELD & MALLOY, LTD.  
500 West Madison Street, 34th Floor  
Chicago, Illinois 60661

Telephone: (312) 775-8000  
Facsimile: (312) 775-8100